

## R10 InfoPage

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## Q&amp;D - Office of Ecosystems, Tribal &amp; Public Affairs - Public Affairs Unit

| RECORD SERIES DESCRIPTION   | DISPOSITION   | NARA #  |
|---|---|---|
| Link to the common  | Link to your full printable   | Link to Printable   |
| <b>Housekeeping Schedules</b>   | ETPA - PAU  | <b>Intuitive Folders</b>  |
| not included in this table  | <b>File Plan Spreadsheet</b>  | List  |
| <p><b>ADMINISTRATIVE RECORDS - PERMITS:</b><br/>The administrative record is required for issuance of draft and final permits for Prevention of Significant Deterioration (PSD), Resource Conservation and Recovery Act (RCRA), National Pollutant Discharge Elimination System (NPDES), and Underground Injection Control (UIC), when EPA is the permitting authority. The record includes the permit application, draft permit or notice of intent to deny, statement of basis and documentation, the environmental impact statement (NPDES only), comments received during the public comment period, public hearing transcripts and related documentation, and the final permit.</p> <p><b>Item a:</b> RCRA land disposal</p> <p><b>Item b:</b> UIC and UIC exemptions</p> <p><b>Item c:</b> NPDES minor permits</p> <p><b>Item d:</b> All other permits</p> <p>Includes NPDES except minors, pretreatment, ocean dumping, section 404 dredging and fill, PSD, and TSCA PCB disposal.</p> <p>Function: 204-079 <b>210</b></p> | <p><b>Item a: Disposable</b><br/>Close inactive records at issuance of administrative record.<br/>Destroy 30 years after file closure.</p> <p><b>Item b: Disposable</b><br/>Close inactive records at issuance of administrative record.<br/>Destroy 30 years after file closure.</p> <p><b>Item c: Disposable</b><br/>Close inactive records at issuance of administrative record.<br/>Destroy 10 years after file closure.</p> <p><b>Item d: Disposable</b><br/>Close inactive records at issuance of administrative record.<br/>Destroy 10 years after file closure.</p> | <p>N1-412-07-36</p> <p><b>Status:</b> Final, 06/30/2007</p> <p>This schedule authorizes the disposition of the record copy in any media (media neutral). Records designated for permanent retention must be transferred to the National Archives in accordance with NARA standards at the time of transfer.</p> |
| <p><b>COMPLIANCE FILES:</b> Contains records used to determine compliance with pollution regulations and to recommend legal enforcement actions if necessary. Includes compliance schedules, inspections, reports, correspondence, inventories, sampling and analytical data, field notebooks, and related documents. Also includes notices of noncompliance, and compliance orders that do not result in enforcement actions.</p> <p><b>Item a:</b> Record copy</p> <p><b>Function:</b> 108-025-08 <b>211</b></p>  | <p><b>Item a: Disposable</b><br/>Close inactive records at end of year.<br/>Destroy 5 years after file closure.</p>   | <p>N1-412-07-1/10</p> <p><b>Status:</b> Final, 12/31/2007</p>   |
| <p><b>CONTRACT MANAGEMENT RECORDS:</b> Contract records include all correspondence and related records pertaining to the award, administration, receipt, inspection and payment of any and all contracts to which EPA is a party and which are maintained and used by the Agency or Contracting Officer for contract documentation and for performance and financial monitoring and oversight activities. Also includes reviews and audits conducted by the Financial Analysis and Rate Negotiation Service Center (FARSC).</p> <p>Excludes: Superfund site-specific contract management records scheduled as EPA 020; final</p>  | <p><b>Item b: Disposable</b><br/>Close inactive records upon filing of final invoice or completion or termination of the task order or work assignment.<br/>Destroy 6 years and 3 months after final payment for the overall contract.</p> <p><b>Item c: Disposable</b><br/>Close inactive records upon filing of final invoice or completion or</p>  | <p>N1-412-06-6/5</p> <p><b>Status:</b> Final, 10/31/2008</p>  |

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| <p><b>Item b:</b> Contract-level Contracting Officer's Representative (COR)<br/>Formerly called Project Officer (PO)</p> <p><b>Item c:</b> Other Contracting Officer's Representative (COR)<br/>Includes Delivery Order CORs, Simplified Acquisition CORs, Task Order CORs, and Work Assignment CORs. Formerly called Delivery Order Project Officer (DOPO) or Work Assignment Manager (WAM)</p> <p>Function: 405 <b>202</b></p>  | <p>final payment for the overall contract.</p>  |  |
| <p><b>CONTROLLED &amp; MAJOR CORRESPONDENCE:</b><br/>Includes signed controlled and major correspondence. The correspondence significantly documents the program activities and was processed under special handling control procedures because of the importance of the letters or time requirements of replies. Records consist of copies of incoming letters, copies of the responses, and enclosures. Also includes indexes to the correspondence.</p> <p><b>Item b:</b> Other federal employees</p> <p>Function: 404-141-02-01 <b>141</b></p>  | <p><b>Item b:Disposible</b><br/>Close inactive records at end of year.<br/>Destroy 10 years after file closure.</p>   | <p>N1-412-06-10</p> <p><b>Status:</b> Final,<br/>2/28/2011</p> |
| <p><b>DIRECTIVES AND POLICY GUIDANCE DOCUMENTS ISSUED BY SPECIFIC PROGRAMS AND REGIONS:</b> Includes all records that document EPA's major policy decisions and program operational procedures originated within each program and regional office providing the mandates for overall and specific program direction and action. Records consist of official policy decisions, delegations of authority, memos that set policy or issue guidance, operating guidance, procedures manuals, other procedural materials, technical resource documents, regulatory interpretation and implementation documents, and mandates for action. These collections of materials may be in the form of a program directives system or a program compendium with finding aids and indexes.</p> <p><b>Item a(1):</b> Published or released to the public and related background materials - Nonelectronic</p> <p><b>Item a(2):</b> Published or released to the public and related background materials - Electronic</p> <p><b>Item a(3):</b> Published or released to the public and related background materials - Electronic copy of records transferred to the National Archives</p> <p><b>Item b:</b> Unpublished or not released to the public and related background materials</p> <p>Function: 306-112 <b>007</b></p> | <p><b>Item a(1):Permanent</b><br/>Close inactive records upon issuance or publication or when superseded.<br/>Transfer to the National Archives in 5 year blocks, 20 years after file closure.</p> <p><b>Item a(2):Permanent</b><br/>Close inactive records upon issuance or publication or when superseded.<br/>Transfer to the National Archives 5 years after file closure, with any related documentation and external finding aids, as specified in 36 CFR 1235.44-1235.50 or standards applicable at the time.</p> <p><b>Item a(3):Disposible</b><br/>Close file upon transfer to the National Archives.<br/>Delete after electronic record copy is successfully transferred to the National Archives.</p> <p><b>Item b:Disposible</b><br/>Close inactive records upon decision to not publish or issue.<br/>Destroy 10 years after file closure.</p> | <p>N1-412-06-7</p> <p><b>Status:</b> Final,<br/>12/31/2010</p> |
| <p><b>FINAL DELIVERABLES AND REPORTS:</b> Consists of final draft and final deliverables, products, and reports submitted by contractors and grantees to the Agency, or produced in-house by individuals, committees, or task forces. Also includes final reports resulting from special studies and surveys completed within the Agency.</p> <p><b>Item a(1):</b> Environmental programs, except Superfund site-specific - Nonelectronic</p> <p><b>Item a(2):</b> Environmental programs, except Superfund site-specific - Electronic</p> <p><b>Item a(3):</b> Environmental programs, except Superfund site-specific - Electronic copy of records</p>   | <p><b>Item a(1):Permanent</b><br/>Close inactive records upon completion of project.<br/>Transfer to the National Archives 20 years after file closure.</p> <p><b>Item a(2):Permanent</b><br/>Close inactive records upon completion of project.<br/>Transfer to the National Archives 5 years after file closure, with any related documentation and external</p>  | <p>N1-412-06-27</p> <p><b>Status:</b> Final,<br/>2/28/2011</p> |

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| <b>Function:</b> 305-109-01 258   | <b>Item a(3):Disposable</b><br><hr/> Delete after electronic record copy is successfully transferred to the National Archives.<br><br><b>Item b:Disposable</b><br>Close inactive records upon completion of project.<br>Destroy 30 years after file closure.<br><br><b>Item c:Disposable</b><br>Close inactive records upon completion of project.<br>Destroy 7 years after file closure.   | GRS 14/15 (Item a)<br>GRS 14/14 (Item b)<br><br><b>Status:</b> Final,<br>02/01/2007 |
| <b>FREEDOM OF INFORMATION ACT (FOIA) ADMINISTRATIVE FILES AND REPORTS:</b><br>Records relating to the general Agency implementation of the Freedom of Information Act. Excludes annual reports to the Department of Justice at the departmental or Agency level scheduled as EPA 029.<br><br><b>Item a:</b> Administrative files. Includes notices, memoranda, routine correspondence, and related records;<br><b>Item b:</b> Reports. Includes recurring reports and one-time information requirements relating to implementation of FOIA. | <b>Item a: Disposable</b><br>Destroy when 2 years old.<br><br><b>Item b:Disposable</b><br>Destroy when 2 years old.   | GRS 14/15 (Item a)<br>GRS 14/14 (Item b)<br><br><b>Status:</b> Final,<br>02/01/2007 |
| <b>Function:</b> 305-109-02-01 031  | <b>Item a: Permanent</b><br>Close inactive records after report submission.<br><br>Transfer nonelectronic records to the National Archives 20 years after file closure.<br><br>Transfer electronic records to the National Archives 5 years after file closure, with any related documentation and external finding aids, as specified in 36 CFR 1228.270 or standards applicable at the time. Delete EPA reference copy 20 years after file closure. | N1-412-07-2/1<br><br><b>Status:</b> Final,<br>06/30/2007                            |
| <b>Function:</b> 305-109-02-01 029  | <b>Item a: Disposable</b><br>Destroy 6 years after the final determination by the Agency, or 6 years after the time at which a requester could file suit, or 3 years after final adjudication by the court, whichever is later.   | GRS 14/12<br><br><b>Status:</b> Final,<br>02/12/2007                                |
| <b>FREEDOM OF INFORMATION ACT (FOIA) APPEALS FILES:</b> Files created in responding to administrative appeals under the FOIA for release of information denied by the Agency, consisting of the appellant's letter, a copy of the reply thereto, and related supporting documents, which may include the official file copy of records under appeal or copy thereof.<br><br><b>Item a:</b> Correspondence and supporting documents. Excludes the file copy of the records under appeal if filed herein.                                     |   |   |

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| <p><b>AGREEMENTS:</b> Includes records that document all types of agreements with other federal, state, or local government agencies, universities, non-profit organizations, Tribes, and other institutions to which EPA is a party, and that support EPA's environmental programs (other than Superfund site-specific, and waste water construction and state revolving fund grants). Specific types of agreements include assistance agreements, grants, cooperative agreements, interagency agreements, agreements for "guest" workers, and other types of program support agreements administered by headquarters or EPA regions and that provide for research, demonstration projects, training, fellowships, investigation, surveys, studies, or other types of program support activities.</p>   | <p>Close inactive records immediately after closeout of the agreement.<br/>Destroy 10 years after file closure.</p>   | <p><b>Status:</b> Final,<br/>7/31/2010</p>   |
| <p>Also includes supporting documentation. Specific types of records include, but are not limited to, documentation of significant actions and decisions relating to and supporting the award of agreements, documentation of actions and decisions relating to the competition of agreements, announcements and solicitations of funding opportunities, justifications, requests and justifications for the non-competitive award of agreements, cost estimates, scopes of work, correspondence, applications, pre-award reviews, funding decisions, award documentation, documentation relating to the evaluation of proposals and applications, conflict of interest documentation, transmittal correspondence, agreements, agreement oversight activities, non-compliance documentation, dispute documentation, audit records, closeout documentation for completed agreements; and reports and evaluations resulting from agreements.</p> |   |  |
| <p>Excludes: Final products and deliverables (EPA 258), Superfund site-specific grants and agreements (EPA 001), and waste water construction and state revolving fund grants (EPA 232).</p>   |   |  |
| <p><b>Item a:</b> Record copy</p>  |   |  |
| <p>Function: 205 <b>003</b></p>  |   |  |
| <p><b>INFORMATION REQUESTS AND ACKNOWLEDGMENT FILES:</b> Includes routine requests for information and acknowledgments.<br/><b>Item a:</b> Routine requests for information and replies. Includes requests involving no administrative actions, no policy decisions, and no special compilations or research, and requests for and transmittal of publications, photographs, and other information literature.<br/><b>Item b:</b> Acknowledgments and transmittals of inquiries and requests referred elsewhere for reply.</p>   | <p><b>Item a: Disposable</b><br/>Destroy when 3 months old.</p> <p><b>Item b: Disposable</b><br/>Destroy 3 months after acknowledgment and referral.</p>  | <p>General Records<br/>Schedule 14/1<br/>(Item a)<br/>General Records<br/>Schedule 14/2<br/>(Item b)</p> <p><b>Status:</b> Final,<br/>02/01/2007</p> |
| <p>305-109-02-04 <b>309</b></p>  |   |  |
| <p><b>MANAGEMENT STUDIES:</b> Consists of staff studies; analyses of administrative policies and procedures; manpower surveys; organization and methods surveys and studies; activity, progress, management improvement, and other reports; and other related records.</p>   | <p><b>Item a(1): Permanent</b><br/>Close file after completion of the study or report or when canceled.<br/>Transfer to the National Archives in 5 year blocks 20 years after file closure.</p> | <p>N1-412-07-2/2</p> <p><b>Status:</b> Final,<br/>01/31/2011</p>   |
| <p><b>Item a(1):</b> Record copy - Nonelectronic</p>   |   |  |



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| <b>Function:</b> 304-107 105   | <p>Transfer to the National Archives 5 years after file closure, with any related documentation and external finding aids, as specified in 36 CFR 1235.44-1235.50 or standards applicable at the time.</p> <p><b>Item a(3): Disposable</b><br/>Close file upon transfer to the National Archives.</p> <p>Delete after electronic record copy is successfully transferred to the National Archives.</p>   | <p>N1-412-07-68/15</p> <p><b>Status:</b> Final,<br/>03/31/2009</p> |
| <p><b>PUBLIC AFFAIRS PROJECT FILES:</b> Contains documents and other material prepared for the purpose of assisting EPA officials in presentations such as Congressional hearings, program reviews, technical briefings, public lectures, publications, exhibits, and in-house activities.</p> <p><b>Item a(1):</b> Original artwork - Special projects. Includes artwork used in Congressional hearings, budget presentations, summary review conferences, technical briefings, presentations to the public such as speeches, releases to news media, educational briefs, and exhibits.</p> <p><b>Item a(2):</b> Original artwork - Routine projects. Includes artwork used in administrative and routine in-house activities. <b>Item b:</b> Slides and viewgraphs used by program, staff, and project offices for presentations.</p> <p><b>Item c:</b> Designs and engineering drawings for fabrication of display models and exhibits</p>  | <p><b>Item a(1): Disposable</b><br/>Close inactive records after project or program is completed.<br/>Destroy 3 years after file closure.</p> <p><b>Item a(2): Disposable</b><br/>Close inactive records after project or program is completed.<br/>Destroy 1 year after file closure.</p> <p><b>Item b: Disposable</b><br/>Close inactive records at end of year.<br/>Destroy 1 year after file closure.</p> <p><b>Item c: Disposable</b><br/>Close inactive records when no longer needed or obsolete.<br/>Destroy 3 years after file closure.</p>   | <p>N1-412-07-68/15</p> <p><b>Status:</b> Final,<br/>03/31/2009</p> |
| <p>305-109-02-04 536</p> <p><b>PUBLIC AWARENESS FILES:</b> Includes records used to produce outreach materials for the public or Congress produced by program and regional offices. Records consist of background papers, talking points, briefings and briefing books, news clippings, biographical information on EPA officials, documents on program activities, reports on program and policy developments, news releases, fact sheets, and other records used in formulating news or press releases. It also includes conference and symposium materials relating to programs, an element of the program, a particular regulation, or an environmental event.</p> <p><b>Item a(1):</b> Official dissemination products - Nonelectronic<br/>Includes documents posted to EPA's Internet News Room by Headquarters and Regional Offices of Public Affairs, including press or news releases, fact sheets, and related documents.</p> <p><b>Item a(2):</b> Official dissemination products - Electronic<br/>Includes documents posted to EPA's Internet News Room by Headquarters and Regional Offices of Public Affairs, including press or news releases, fact sheets, and related documents.</p> <p><b>Item a(3):</b> Official dissemination products - Electronic copy of records transferred to the</p> | <p><b>Item a(1):Permanent</b><br/>Close inactive records at end of year.<br/>Transfer to the National Archives 10 years after file closure.</p> <p><b>Item a(2):Permanent</b><br/>Close inactive records at end of year.<br/>Transfer to the National Archives 5 years after file closure, with any related documentation and external finding aids as specified in 36 CFR 1235.44-1235.50 or standards applicable at the time.</p> <p><b>Item a(3):Disposable</b><br/>Close file upon transfer to the National Archives.<br/>Delete after electronic record copy is successfully transferred to the National Archives.</p> <p><b>Item b:Disposable</b><br/>Close inactive records at end of year.<br/>Destroy 3 years after file closure.</p> | <p>N1-412-07-68/14</p> <p><b>Status:</b> Final,<br/>12/31/2010</p> |

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| <p>Offices of Public Affairs, including press or news releases, fact sheets, and related documents.</p> <p><b>Item b:</b> Background or working papers</p> <p>Function: 305-109-02-04 <b>081</b></p>   |   |  |
| <p><b>PUBLICATIONS &amp; PROMOTIONAL ITEMS:</b> Files consist of general and technical literature and promotional items along with finding aids and indices used to access collections of publications. General and technical literature includes any manuals, handbooks, brochures, newsletters, or pamphlets developed for use by Agency staff or for distribution to regions, states, other government agencies, the regulated community, and the public. Promotional items include brochures, pamphlets, posters, comic books, buttons, and bumper stickers. Also includes official portraits of senior Agency officials.</p> <p><b>Item a(1):</b> Items depicting EPA's environmental mission activities - Nonelectronic</p> <p><b>Item a(2):</b> Items depicting EPA's environmental mission activities - Electronic</p> <p><b>Item a(3):</b> Items depicting EPA's environmental mission activities - Electronic copy of records transferred to the National Archives</p> <p><b>Item b:</b> Routine publications or promotional items</p> <p><b>Item c:</b> Working papers and background materials</p> <p>Function: 305-109-02-04 <b>250</b></p> | <p><b>Item a(1):Permanent</b><br/>Close inactive records upon publication or when document becomes obsolete, is superseded, or no longer needed to support program activities.<br/><br/>Transfer to the National Archives 20 years after file closure.</p> <p><b>Item a(2):Permanent</b><br/>Close inactive records upon publication or when document becomes obsolete, is superseded, or no longer needed to support program activities.<br/><br/>Transfer to the National Archives 5 years after file closure, with any related documentation and external finding aids, as specified in 36 CFR 1235.44-1235.50 or standards applicable at the time.</p> <p><b>Item a(3):Disposable</b><br/>Delete after electronic record copy is successfully transferred to the National Archives.</p> <p><b>Item b:Disposable</b><br/>Close inactive records after publication or when document becomes obsolete, is superseded, or no longer needed to support program activities.<br/><br/>Destroy 5 years after file closure.</p> <p><b>Item c:Disposable</b><br/>Close inactive records after publication or when document becomes obsolete, is superseded, or no longer needed to support program activities.<br/><br/>Destroy 2 years after file closure.</p> | <p>N1-412-06-9</p> <p><b>Status:</b> Final, 4/30/2012</p>    |
| <p><b>SPECIAL STUDIES:</b> Contains supporting files relating to the development of special studies and surveys produced in house by individuals, committees or task forces. Examples of such studies include topics such as environmental levels of toxic substances, coastal zone management, or economic benefits and impacts of pesticides. Excludes: Final studies and surveys scheduled as EPA 258 and management studies scheduled as EPA 105.</p> <p><b>Item a:</b> Record copy</p> <p>Function: 108 <b>005</b></p>  | <p><b>Item a:Disposable</b><br/>Close upon completion of study.<br/><br/>Destroy 7 years after file closure.</p>  | <p>N1-412-07-1/1</p> <p><b>Status:</b> Final, 07/31/2010</p> |
| <p><b>STATE AND OTHER ENTITY RELATIONS AND OVERSIGHT FILES:</b> Contains records used to oversee programs operated in lieu of a federal program by states and other entities.</p>  | <p><b>Item a: Disposable</b><br/>Close inactive records at end of year.</p>   | <p>N1-412-07-1/9</p> <p><b>Status:</b> Final, 03/30/2007</p> |

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| <p><b>Item a:</b> Record copy</p> <p><b>Function:</b> 301-093 203</p> <p><b>TRAINING MATERIAL:</b> Contains records used by Agency personnel in planning, preparing, writing, arranging, and conducting training programs for EPA and non-EPA employees, including state and other federal agency personnel. Records consist of working files generated during training development phase, training workgroup meeting notes, correspondence, training participation surveys and rosters, instructional materials, manuals, and other training aids.</p> <p>Excludes: Records for training administered by the Personnel program scheduled as EPA 571.</p> <p><b>Item a:</b> Routine training materials. Includes training course plans and materials used for personnel and management training unrelated to the environmental missions of the Agency.</p> <p><b>Item c(1):</b> Mission-related training materials Nonelectronic Includes training course plans and materials used for training in functions or activities related to the environmental goals of the Agency and its programs.</p> <p><b>Item c(2):</b> Mission-related training materials - Electronic. Includes training course plans and materials used for training in functions or activities related to the environmental goals of the Agency and its programs.</p> <p><b>Item c(3):</b> Mission-related training materials - Electronic copy of records transferred to the National Archives. Includes training course plans and materials used for training in functions or activities related to the environmental goals of the Agency and its programs.</p> <p><b>Function:</b> 305-109-02-04 200</p> | <p><b>Item a: Disposable</b><br/>Close inactive records after course or material is superseded.<br/><br/>Destroy 5 years after file closure.</p> <p><b>Item c(1): Permanent</b><br/>Close inactive records after course or material is superseded.<br/><br/>Transfer to the National Archives in 5 year blocks 20 years after file closure.</p> <p><b>Item c(2): Permanent</b><br/>Close inactive records after course or material is superseded.<br/><br/>Transfer to the National Archives 5 years after file closure, with any related documentation and external finding aids, as specified in 36 CFR 1235.44-1235.50 or standards applicable at the time.</p> <p><b>Item c(3): Disposable</b><br/>Close file upon transfer to the National Archives.<br/><br/>Delete after electronic record copy is successfully transferred to the National Archives.</p> | <p>N1-412-06-11</p> <p><b>Status:</b> Final, 04/30/2012</p>          |
| <p><b>UNSUCCESSFUL GRANT APPLICATION FILES:</b><br/>Includes but is not limited to applications, proposals, correspondence, and other records and documentation related to unsuccessful (e.g., rejected, withdrawn, not selected for award under a competition) applications for grants and unsolicited proposals for grants that are not accepted for award. This includes documentation relating to the evaluation of the unsuccessful application or unsolicited proposal for award.</p> <p><b>Item a:</b> Record copy</p> <p>205 274</p>   | <p><b>Item a: Disposable</b><br/>Close inactive records after rejection or withdrawal.<br/><br/>Destroy 3 years after file closure.</p>  | <p>GRS 3/13</p> <p><b>Status:</b> Final, 02/14/2007</p>              |
| <p><b>EPA NON-RECORDS:</b> Consists of nonrecord copies. Nonrecord materials are those Agency-owned informational materials that do not meet the statutory definition of records in 44 U.S.C. Section 3301 or that have been excluded from coverage by that definition.<br/>Examples of Non-Records: Technical Reference Materials,</p>  | <p><b>Item a: Disposable</b><br/>Close when obsolete, superseded or no longer needed for reference.<br/><br/>Destroy immediately after file closure.</p>   | <p><b>NOT APPLICABLE</b></p> <p><b>Status:</b> Final, 02/12/2007</p> |

Appropriate for Preservation, Library or  
Museum Materials,  
Working Papers and Drafts.

**Function: 0 008**

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